

3100-G010 – Information Technology Change Management Guideline

I. PURPOSE

The purpose of this guideline is to outline the process for making Information Technology changes. The process will ensure that changes take place quickly, accurately, and with minimal disruption to service, while providing accountability, and documentation.

II. SCOPE

This guideline applies to all executive branch agencies, boards, and commissions (collectively referred to “agency” or “agencies”).

III. GUIDANCE

A. Roles and Responsibilities

1. **Sponsor** – The person/department responsible for completing and submitting the Change Request.
2. **Change Coordinator** – The person responsible for receiving, reviewing, classifying, assigning, tracking the Change Request, evaluating the outcome of the change, and coordinating with the Change Advisory Board.
3. **Change Implementer** – The person(s) responsible for planning and implementing the change described in the Change Request. The Change Implementer must have the appropriate privilege level to accomplish the task.
4. **Change Advisory Board (CAB)** – The oversight team responsible for approving change requests and notifying participating agencies of the timing and scope of such changes.
5. **Participating Agencies** – other agencies affected by the change request

B. Change Categories

1. **Routine Change** – frequently **recurring** activities on a system, including both the main production system and fail-over or redundant systems. Examples include, but are not limited to, minimal configuration changes, patches, updates, and fixes associated with **routine** maintenance (minimal resources, minimal impact).
2. **Non-routine change** – activity that has the **potential to disrupt** an application, service or system; change that is not routine maintenance; change that cannot be performed within a regularly scheduled maintenance window (substantial resources, substantial impact).
3. **Emergency Change** – corrects an issue posing **immediate** threat to public health/safety, to the system’s security; lack of implementation can cause immediate interruption, errors or omissions in a production environment (including redundancy and/or fail-over).

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C. Change Management Process

1. **Change request receipt** – Sponsor submits a change request along with relevant documentation to the Change Coordinator using a service desk ticketing system or agency generated forms.
2. **Change analysis and review** – The Change Coordinator acknowledges, reviews, and classifies the change request. A risk analysis of the technical and business impact of the change will accompany change requests to the CAB. The CAB will review the risk analysis along with the change request to determine approval or disapproval and will make corrections, additions, or modifications as needed. If the change is classified as routine, and there is an existing CAB approved process the Change Coordinator may assign the change to an implementer without further review from the CAB.
3. **Change notification** – The Change Coordinator will inform the Change Sponsor and Change Implementer of the approval status and scheduling of approved changes. The CAB will notify Participating Members within 48 hours regarding the scope and timing of non-routine changes. The CAB will notify Change Coordinator and Participating Members on status of change request no later than sixty (60) days from scheduled implementation. If implementation will take longer than 60 days, the CAB will provide status updates to Change Coordinator and Participating Members every 30 days.
4. **Change designing, testing, and implementing** – The Change Implementer will review the risk analysis, determine the change procedures, test the procedures, and implement the change. The Change Implementer will document the change via a service desk ticketing system or agency generated forms. Alterations to the risk analysis during the design and testing of implementation procedures will need to be submitted to the CAB for further review before changes are implemented. The Change Coordinator provides feedback to CAB throughout this process.
5. **Change outcome** – Change Implementer evaluates the outcome of the change, and informs the Change Coordinator and CAB. CAB informs Participating Members of the outcome (includes failed changes).
6. **Change Documentation** – The change process for the request is evaluated and documented from the time the change request was received through the change outcome analysis and retained per appropriate retention schedule.

D. Emergency Change Requests and Escalation

1. Emergency change requests will be submitted to the CAB immediately. The CAB shall notify parties affected by change prior to implementation if possible. If not possible, notification will occur immediately after change is implemented.
2. Testing may be limited, but should still be appropriate for the scope of the change.
3. Rollback or back-out procedures will be included with each emergency change request to minimize negative impact of change.

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4. In addition to normal Change Outcome and Change Documentation procedures, emergency change requests will be evaluated to determine if additional or modified policy, procedures, actions, or controls can prevent further emergency changes of this nature.
5. The classification of a change request may be escalated to an emergency change by the Change Coordinator or CAB at any time.

E. Change Request Information

The submission of change request information will utilize a service desk ticketing system or agency generated forms capable of monitoring, tracking, and logging all aspects of the change management process.

1. Information required from the sponsor in a change request:
 - Date of request.
 - Requesting agency, division, section, and contact person (sponsor).
 - Purpose of change request (the change/modification being requested).
 - Requested time frame for completion or implementation of change.
 - Impact on the sponsor if a change is denied or not completed in requested time frame.
 - Any additional background, knowledge, or previous experience by sponsor that may benefit the Change Coordinator, Change Implementer or CAB.
2. Information required from the Change Coordinator in a change request:
 - Date request received.
 - Whether or not request was sent to CAB for review, and reason if it wasn't.
 - Whether or not request was approved, and reason if it was denied.
 - If request was approved, whom it was assigned to, and date it was assigned.
 - Dates of change notification regarding approval, testing, and implementation.
3. Information required from the Change Implementer in a change request:
 - Date request received.
 - Special considerations, if any.
 - Implementation schedule (depending on scope of request).
 - Testing procedures performed, results of procedures, and changes made to the risk analysis prior to implementation.
 - Scheduled date of implementation
 - Date completed.
 - Change Documentation comment or reference to change documentation evaluation.

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